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Date of Deposit: August 1, 2001

10 Received 01 AUG 2001

Attorney Docket No. 21508-022 NATL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: McMahon et al.
ASSIGNEE: President and Fellows of Harvard College
SERIAL NUMBER: 09/674,292 EXAMINER: Not Yet Assigned
I.A. FILING DATE: April 30, 1998 ART UNIT: Not Yet Assigned
FOR: INDUCTION OF NEURONAL REGENERATION

August 1, 2001
Boston, Massachusetts

BOX PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO NOTICE TO COMPLY
WITH SEQUENCE LISTING REQUIREMENTS**

Sir:

In response to the Notice to Comply with Sequence Listing Requirements, mailed May 31, 2001 in the above mention application, Applicants submit a computer readable form (CRF) of the "Sequence Listing" and a statement that the content of the paper and computer readable copies are the same. Applicants also submit a petition for a one (1) month extension of time and the required fee of \$55.00 under 37 C.F.R. §1.17(a)(1). With the extension, the response is due on or before August 31, 2001.

CONCLUSION

Applicants believe no additional fees are due in this filing, however, the Commissioner is authorized to charge any additional fees due, or credit any overpayment of same, to the undersigned's account, Deposit Account No. 50-0311, Reference No. 21508-022NATL.

The Examiner is encouraged to call the undersigned below with any questions or comments.

Respectfully submitted,

I. R. Elrifi

Ivor R. Elrifi, Reg. No.: 39,529I
Ingrid A. Beattie, Reg. No. 42,306
Attorneys for Applicants
c/o MINTZ, LEVIN
One Financial Center
Boston, Massachusetts 02111
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TRANSMITTAL LETTER

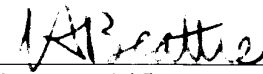
Sir:

Transmitted herewith for filing in the above-identified application are the following documents:

- ☒ Response to Notice to Comply with Sequence Listing Requirements (1 pg.);
- ☒ Preliminary Amendment (1 pg.);
- ☒ Sequence Listing (15 pgs.);
- ☒ One Diskette;
- ☒ Statement in Support of Computer Readable Form Submission (1 pg.);
- ☒ Copy of Notice to Comply with Requirements (2 pgs.);
- ☒ Petition for Extension of Time (1 pg., in duplicate);
- ☒ Check in the amount of \$55.00.; and
- ☒ Return Postcard.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at 617-542-6000, Boston, Massachusetts. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311 (Reference No. 21508-022 NATL). A duplicate copy of this Transmittal is enclosed.

Respectfully submitted,


Ivor R. Elrifi, Reg. No.: 39,529I
Ingrid A. Beattie, Reg. No. 42,306
Attorneys for Applicants
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One Financial Center
Boston, Massachusetts 02111
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UNITED STATES PATENT AND TRADEMARK OFFICE

10 Nov 2000

01 APR 2001

Commissioner for Patents, Box 60
United States Patent and Trademark Office
Washington, DC 20503-0060

US APPLICATION NO.

09/674292

FIRST NAME, LAST NAME

MCMAHON

CLASS OF INVENTION

A

21508-022 NA

INTERNATIONAL APPLICATION NO.

PCT/US98/08716

INGRID A BEATTIE
MINTZ LEVIN COHN FERRIS GLOVSKY AND POPEO
ONE FINANCIAL CENTER
BOSTON, MA 02111

EX FILING DATE

PRIORITY DATE

30 APR 98

DATE MAILED

01 MAY 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRI Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☒ An initial or substitute computer readable form (CRI) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE
CALL:**

(703) 308-4216, for Rules interpretation,
(703) 308-4212, for CRI submission help,
(703) 287-0200, for PatentIn software help.

Christine S. Washington

Telephone: 703-305-3752



UNITED STATES PATENT AND TRADEMARK OFFICE

10 Rec'd

01 AUG 2001

RECEIVED

JUN 05

MINTZ LEVIN
PATENT DOCK

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20590
www.uspto.gov

U.S. APPLICATION NO.

09/674292

FIRST NAMED APPLICANT

MCMAHON

A.

ATTY. DOCKET NO.

21508-022NATL 11

INTERNATIONAL APPLICATION NO.

PCT/US98/08716

INGRID A. BEATTIE
MINTZ, LEVIN, COHN, FERRIS, GLOVSKY AND POPEO
ONE FINANCIAL CENTER
BOSTON, MASS 02111

EXPIRATION DATE

30 APR. 98

PRIORITY DATE

***CORRECTED COPY. HOPE THAT THIS DOES
NOT CAUSE ANY INCONVENIENCES

DATE MAILED

31 MAY 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- | | |
|---|--|
| <input checked="" type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Indication of Small Entity Status. |
| <input checked="" type="checkbox"/> Copy of the international application. | <input type="checkbox"/> Translation of the international application into English. |
| <input checked="" type="checkbox"/> Oath or Declaration of inventors(s). | <input type="checkbox"/> Translation of Article 19 amendments into English. |
| <input checked="" type="checkbox"/> Copy of Article 19 amendments. | <input checked="" type="checkbox"/> Other: PETITION FOR EXTENSION OF TIME, SEQUENCE LISTING, IB 306, ISA/210 |
| <input type="checkbox"/> Priority Document. | |
| <input type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. | |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. | |

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- | | |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Copy of the international application. |
|---|---|

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- | | | | | | | | | | | | | | | | | | |
|---|---|---------|--|-------------------------------------|--|--|--|---|--|---|--|--|--|--------------------------------|--|------------------------------|--|
| <input type="checkbox"/> a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. | <div data-bbox="1060 898 1287 1089" data-label="Form"> <table border="1"> <tr> <td>Date By</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Data Entry</td> <td></td> </tr> <tr> <td><input checked="" type="checkbox"/> Docket Entry</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Docket Cross Off</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Previously Entered</td> <td></td> </tr> <tr> <td><input checked="" type="checkbox"/> Defective Reqd</td> <td></td> </tr> <tr> <td><input type="checkbox"/> ELITE</td> <td></td> </tr> <tr> <td><input type="checkbox"/> die</td> <td></td> </tr> </table> </div> | Date By | | <input type="checkbox"/> Data Entry | | <input checked="" type="checkbox"/> Docket Entry | | <input type="checkbox"/> Docket Cross Off | | <input type="checkbox"/> Previously Entered | | <input checked="" type="checkbox"/> Defective Reqd | | <input type="checkbox"/> ELITE | | <input type="checkbox"/> die | |
| Date By | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Data Entry | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Docket Entry | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Docket Cross Off | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Previously Entered | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Defective Reqd | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> ELITE | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> die | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> The current translation is defective for the reasons indicated on the attached Notice of Defective Translation. | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)). | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917. | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). | | | | | | | | | | | | | | | | | |

4. Additional claim fees of \$ _____ as a _____ large entity _____ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920. *****SEE ATTACHED PCT/DO/EO/920 FORM

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7. The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed PCT/DO/EO/917 Notice of Defective Translation
PTO-875

Christine S. Washington

Telephone: 703-305-3752

FORM PCT/DO/EO/905 (March 2001)